

Docket No. 237687US0

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF: Shaoxiang LU et al.

SERIAL NO: 10/622,689

GAU: 1712

FILED: July 21, 2003

EXAMINER: PENG, KUO

FOR: SELF-EMULSIFYING COPOLYMER

**INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR 1.97**

COMMISSIONER FOR PATENTS  
ALEXANDRIA, VIRGINIA 22313

SIR:

Applicant(s) wish to disclose the following information.

**REFERENCES**

- ☐ The applicant(s) wish to make of record the references listed on the attached form PTO-1449. Copies of the listed references are attached, where required, as are either statements of relevancy or any readily available English translations of pertinent portions of any non-English language references.
- ☐ A check or credit card payment form is attached in the amount required under 37 CFR §1.17(p).

**RELATED CASES**

- ☒ Attached is a list of applicant's pending application(s), published application(s) or issued patent(s) which may be related to the present application. In accordance with the waiver of 37 CFR 1.98 dated September 21, 2004, copies of the cited pending applications are not provided. Cited published and/or issued patents, if any, are listed on the attached PTO form 1449.
- ☐ A check or credit card payment form is attached in the amount required under 37 CFR §1.17(p).

**CERTIFICATION**

- ☐ Each item of information contained in this information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement.
- ☐ No item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned, having made reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this statement.

**DEPOSIT ACCOUNT**

- ☒ Please charge any additional fees for the papers being filed herewith and for which no check or credit card payment is enclosed herewith, or credit any overpayment to deposit account number 15-0030. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

OBLON, SPIVAK, McCLELLAND,  
MAIER & NEUSTADT, P.C.

Richard L. Treanor

Registration No. 36,379

Customer Number

**22850**

Tel. (703) 413-3000  
Fax. (703) 413-2220  
(OSMMN 05/03)



Form PTO 1449 (Modified)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY DOCKET NO. 237687US0			SERIAL NO. 10/622,689	
				APPLICANT Shaoxiang LU et al.				
				FILING DATE July 21, 2003			GROUP 1712	
LIST OF REFERENCES CITED BY APPLICANT								
U.S. PATENT DOCUMENTS								
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE	
	AA	US 2003/0235548	12-25-03	LU				
	AB	US 2004/0001799	01-01-04	LU ET AL.				
	AC	US 2003/0235553	12-25-03	LU ET AL.				
	AD	US 2004/0126336	07-01-04	HANSENNE ET AL.				
	AE	US 2003/0235552	12-25-03	YU				
	AF	US 2003/0072730	04-17-03	TOURNILHAC				
	AG	US 2003/0170188	09-11-03	FERRARI ET AL.				
	AH	US 2003/0068348	04-10-03	FERRARI ET AL.				
	AI	US 2004/0115154	06-17-04	YU				
	AJ	US 2004/0115153	06-17-04	YU				
	AK	US 2004/0170586	09-02-04	FERRARI ET AL.				
	AL	US 2004/0120912	06-24-04	YU				
	AM	US 2003/0232030	12-18-03	LU ET AL.				
	AN							
FOREIGN PATENT DOCUMENTS								
		DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION YES NO			
	AO							
	AP							
	AQ							
	AR							
	AS							
	AT							
	AU							
	AV							
OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, etc.)								
	AW							
	AX							
	AY							
	AZ					<input type="checkbox"/> Additional References sheet(s) attached		
Examiner					Date Considered			
*Examiner: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.								



**LIST OF RELATED CASES**

<u>Docket Number</u>	<u>Serial or Patent Number</u>	<u>Filing or Issue Date</u>	<u>Patent Appl. Publication No.</u>	<u>Inventor/ Applicant</u>
258693US0 CONT	10/935,352	9/8/04		LU, et al.
224330US0	10/166,648	6/12/02	US 2003- 0235548 A1	LU
224304US0	10/166,762	6/12/02	US 2004- 0001799 A1	LU, et al.
237688US0	10/617,048	7/11/03		LIEW, et al.
224303US0	10/166,760	6/12/02	US 2003- 0235553 A1	LU, et al.
230147US0	10/323,649	12/20/02	US2004- 0126336 A1	HANSENNE, et al.
224317US0	10/166,755	06/12/02	US2003- 0235552 A1	YU
UNKNOWN	10/170,655	06/14/02	US2003- 0072730 A1	TOURNHILAC
UNKNOWN	10/170,566	06/14/02	US2003- 0170188 A1	FERRARI, et al.
UNKNOWN	10/170,549	06/14/02	US2003- 0068348 A1	FERRARI, et al.
232025US0	10/320,600	12/17/02	US2004- 0115154 A1	YU
232041US0	10/320,599	12/17/02	US2004- 0115153 A1	YU
232374US0- PROV	60/438,782	01/09/03		TOURNILHAC
232407US0- PROV	60/438,770	01/09/03		BLIN
237687US0*	10/622,689	07/21/03		LU
244816US0 PROV	60/528,689	12/12/03		LU, et al.
244818US0	10/733,467	12/12/03	US2004- 0170586 A1	FERRARI, et al.

\*Present Application; listed for information  
NFO/amr

244819US0 PROV	60/528,696	12/12/03		LU, et al.
244820US0- PROV	60/528,700	12/12/03		FERRARI, et al.
232024US0	10/320,601	12/17/02	US2004- 0120912 A1	YU
224305US0	10/166,650	06/12/02	US2003- 0232030 A1	LU, et al.
260897US0 PROV	60/620,689	10/22/04		LU

\*Present Application; listed for information  
NFO/amr